

U.S. Department of Commerce, Patent and Trademark Office					Atty Docket No.		Serial No.	
					M-12004 US		Unknown	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT					Applicant(s)			
(Use several sheets if necessary)					MacKinnon, Neil; Woodley, Bruce R.			
					Filing Date		Group	
					Herewith		Unknown	
U.S. Patent Documents								
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate	
	AA	3,867,012	2/18/75	Phillips	350	96		
	AB	4,384,750	5/24/83	Alferness	350	96		
	AC	4,384,760	5/24/83	Alferness	350	96.14		
	AD	4,390,236	6/28/83	Alferness	350	96.14		
	AE	4,445,751	5/1/84	Divens et al	350	96.14		
	AF	4,533,207	8/6/85	Alferness	350	96.14		
	AG	4,667,331	5/19/87	Alferness et al	372	12		
	AH	4,695,121	9/22/87	Mahapatra et al	350	96.12		
	AI	4,728,207	3/1/88	Aferness et ak	350	96.14		
	AJ	4,948,407	8/14/90	Bindell et al	64	3.14		
	AK	5,150,447	9/22/92	Tamada et al	385	130		
	AL	5,185,831	2/9/93	Kawashima	385	41		
	AM	5,311,540	5/10/94	Pocholle et al	372	97		
	AN	5,319,494	6/7/94	Miyaguchi et al	359	487		
	AO	5,327,447	7/5/94	Mooradian	372	92		
Foreign Patent Documents								
		Document	Date	Country	Class	Subclass	Yes	No
	AP							
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)								
	AQ	"Efficient Waveguide Electro-Optic TE ₀ ↔TM Mode converter/Wavelength Filter", Alferness et al., <i>Applied Physics Letters</i> , vol. 36, No. 7, April 1980, pp. 513-515.						
	AR	"Switching Operations of Three-Waveguide Optical Switches", Kim et al., <i>IEEE Journal of Selected Topics in Quantum Electronics</i> , vol. 6, No. 1, Jan./Feb. 2000, pp. 170-174.						
	AS	"Three-Waveguide Couplers for Improved Sampling and Filtering", Haus et al., <i>IEEE Journal of Quantum Electronics</i> , vol. QE-17, No. 12, Dec. 1981, pp. 2321-2325.						
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	AA	5,393,371	2/28/95	Chang et al	156	629		
	AB	5,442,719	8/15/95	Chang et al	385	3		
	AC	5,473,722	12/5/95	Sohler et al	385	132		
	AD	5,488,681	1/30/96	Deacon et al	385	37		
	AE	5,519,802	5/21/96	Field et al	385	129		
	AF	5,524,012	6/4/96	Wang et al	372	23		
	AG	5,526,439	6/11/96	Bergmann	385	24		
	AH	5,581,642	12/3/96	Deacon et al	385	15		
	AI	5,615,041	3/25/97	Field et al	359	326		
	AJ	5,809,188	9/15/98	Tseng et al	385	37		
	AK	5,852,688	12/22/98	Brinkman et al	385	16		
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	AL							
	AM							
	AN							
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)								
	AO	"Relation Between Normal-Mode and Coupled-Mode Analyses of Parallel Waveguides", Marom et al., vol. QE-20, No. 12, Dec. 1984, pp. 1311-1319.						
	AP	"Tunable Optical Waveguide Directional Coupler Filter", Alferness et al., <i>Applied Physics Letters</i> , vol. 33, No. 2, July 1978, pp. 161-163.						
	AQ	"Switched Directional Couplers with Alternating $\Delta\beta$ ", Kogelnik et al., <i>IEEE Journal of Quantum Electronics</i> , vol. QE-12, No. 7, July 1976, pp. 396-401.						
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	AA	6,041,071	3/21/00	Tayebati	372	64		
	AB	6,074,594	6/13/00	Byer et al	264	406		
	AC	6,101,210	8/8/00	Bestwick et al	372	96		
	AD	6,108,355	8/22/00	Zorabedian	372	20		
	AE	6,156,255	12/5/00	Byer et al	264	406		
	AF	6,156,483	12/5/00	McCoy et al	430	311		
	AG	6,246,709 B1	6/12/01	Oshiba et al	372	50		
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	AJ							
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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)								
	AQ	<i>Wacogne et al. "Single lithium niobate crystal for mode selection and phase modulation in a tunable extended-cavity diode laser", Optics Letters, vol. 19, no. 17, September 1994.</i>						
	AR	<i>"Laser-Diode-Pumped, Electro-Optically Tunable Nd:MgO:LiNbO₃ Microchip Laser", MacKinnon et al., Journal of the Optical Society of America B, vol. 11, No. 3, Mar. 1994, pp. 519-522.</i>						
	AS	<i>"Fast Silicon-on-Silicon Optoelectronic Router Based on a BMFET Device", Itrace et al., IEEE Journal of Selected Topics in Quantum Electronics, vol. 6, No. 1, Jan./Feb. 2000, pp. 14-17.</i>						
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	AG							
	AH							
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	AJ							
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)								
	AK	"Design Equations for the Reflectivity of Deep-Etch Distributed Bragg Reflector Gratings", Kasunic et al., <i>Journal of Lightwave Technology</i> , vol. 18, No. 3, Mar. 2000, pp. 425-429.						
	AL	"Characteristics of Ti-Diffused Lithium Niobate Optical Directional Couplers", Alferness et al., <i>Applied Optics</i> , vol. 18, No. 23, Dec. 1979, pp. 4012-4016.						
	AM	"Coupling Optical Waveguides by Tapers", Nelson et al., <i>Applied Optics</i> , vol. 14, No. 12, Dec. 1975, pp. 3021-3015.						
	AN	"Tunable Optical Waveguide Directional Coupler Filter", Alferness et al., <i>Applied Physics Letters</i> , vol. 33, No. 2, July 1978, pp. 161-163.						
	AO	"Loss in Cleaved Ti-Diffused LiNbO ₃ Waveguides", Kaminow et al., <i>Applied Physics Letters</i> , vol. 33, No. 1, July 1978, pp. 62-64.						
	AP	"Design of Lithium Niobate Based Photonic Switching Systems", Payne et al., <i>IEEE Communications Magazine</i> , vol. 25, No. 5, May 1987, pp. 37-41.						
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	AH	"Electro-Optic Light Modulator with Branched Ridge Waveguide", Ohmachi et al., <i>Applied Physics Letters</i> , vol. 27, No. 10, Nov. 1975, pp. 544-546.							
	AI	"Active Branching Waveguide Modulator", Burns et al., <i>Applied Physics Letters</i> , vol. 29, No. 12, Dec. 1976, pp. 790-792.							
	AJ	"Optical Waveguide Parabolic Coupling Horns", Burns et al., <i>Applied Physics Letters</i> , vol. 30, No. 1, Jan. 1977, pp. 28-30.							
	AK	"External-Cavity Semiconductor Laser with 15nm Continuous Tuning Range", Favre et al., <i>Electronics Letters</i> , vol. 22, No. 15, July 1986, pp. 795-796.							
	AL	"Metal-Diffused Optical Waveguides in LiNbO ₃ ", Schmidt et al., <i>Applied Physics Letters</i> , vol. 25, No. 8, Oct. 1974, pp. 458-460.							
	AM	"Light Beam Scanning and Deflection in Epitaxial LiNbO ₃ Electro-Optic Waveguides", Tien et al., <i>Applied Physics Letters</i> , vol. 25, No. 10, Nov. 1974, pp. 563-565.							
	AN	"A Three-Dimensional Optical Photonic Crystal", Lin et al., <i>Journal of Lightwave Technology</i> , vol. 17, No. 11, Nov. 1999, pp. 1944-1947.							
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	AF								
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	AH	"Agile and Fast Switching Monolithically Integrated Four Wavelength Selectable Source at 1.55 μm ", Talneau et al., <i>IEEE Photonics Technology Letters</i> , vol. 11, No. 1, Jan. 1999, pp. 12-14.							
	AI	"Bragg Grating Fast Tunable Filter", Iocco et al., <i>Electronics Letters</i> , vol. 33, No. 25, Dec. 1997, pp. 2147-2148.							
	AJ	"Long-Period Fiber Gratings as Band-Rejection Filters", Vengsarkar et al., <i>Journal of Lightwave Technology</i> , vol. 14, No. 1, Jan. 1996, pp. 58-65.							
	AK	"Single Lithium Niobate Crystal for Mode Selection and Phase Modulation in a Tunable Extended-Cavity Laser Diode", Wacogne et al., <i>Optics Letters</i> , vol. 19, No. 17, Sept 1994, pp. 1334-1336.							
	AL	"Electro-Optic Waveguide TE \leftrightarrow TM Mode Converter with Low Drive Voltage", Alferness et al., <i>Optics Letters</i> , vol. 5, No. 11, Nov. 1980, pp. 473-475.							
	AM	"All-Optical Switching in an Angled -Grating Semiconductor Bragg Amplifier", Franke et al., <i>IEEE Photonics Technology Letters</i> , vol. 11, No. 7, July 1999, pp. 815-817.							
	AN	"Design, Tolerance Analysis, and Fabrication of Silicon Oxynitride Based Planar Optical Waveguides for Communication Devices", Wörhoff et al., <i>Journal of Lightwave Technology</i> , vol. 17, No. 8, Aug. 1999, pp. 1401-1407.							
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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)									
	AH	"Épitaxial Liff-off Microcavities for 1.55-µm Quantum-Well Spatial Light Modulators", Matos et al., <i>IEEE Photonics Technology Letters</i> , vol. 11, No. 1, Jan. 1999, pp. 57-59.							
	AI	"Realization of All-Optical Wavelength Converter Based on Directionally Coupled Semiconductor Optical Amplifiers", Ma et al., <i>IEEE Photonics Technology Letters</i> , vol. 11, No. 2, Feb. 1999, pp. 188-190.							
	AJ	"Widely Tunable Sampled Grating DBR Laser with Integrated Electroabsorption Modulator", Mason et al., <i>IEEE Photonics Technology Letters</i> , vol 11, No. 6, June 1999, pp. 638-640.							
	AK	"In-Line Fibre-Optic Polariser", Eickhoff et al., <i>Electronics Letters</i> , vol. 16, No. 20, Sept. 1980, pp. 762-763.							
	AL	"Single-Mode Fiber-Optic Polarizer", Bergh et al., <i>Optics Letters</i> , vol. 5, No. 11, Nov. 1980, pp. 479-481.							
	AM	"Performance of Surface-Plasma-Wave Fiber-Optic Polarizers", Zervas et al., <i>Optics Letters</i> , vol. 15, No. 9, May 1990, pp. 513-515.							
	AN	"Fabrication of a Side-Polished Fiber Polarizer with a Birefringent Plymer Overlay", Lee et al., <i>Optics Letters</i> , vol. 22, No. 9, May 1997, pp. 606-608.							
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	AF	"UV-Induced Surface-Relief Gratings on LiNbO ₃ Channel Waveguides", Wu et al., <i>IEEE Journal of Quantum Electronics</i> , vol. 35, No. 10, Oct. 1999, pp. 1369-1373.						
	AG	"Metal-Diffused Optical Waveguides in LiNbO ₃ ", Schmidt et al., <i>Applied Physics Letters</i> , vol. 25, No. 8, Oct. 1974, pp. 458-460.						
	AH	"Elimination of Out-Diffused Surface Guiding in Titanium-Diffused LiNbO ₃ ", Jackel et al., <i>Applied Physics Letters</i> , vol 38, No. 7, April 1981, pp. 509-511.						
	AI	"Efficient Single-Mode Fiber to Titanium Diffused Lithium Niobate Waveguide Coupling for $\lambda = 1.32 \mu\text{m}$ ", Alferness et al., <i>IEEE Journal of Quantum Electronics</i> , vol. QE-18, No. 10, Oct. 1982, pp. 1807-1812.						
	AJ	"Influence of Temperature and Initial Titanium Dimensions on Fiber-Ti:LiNbO ₃ Waveguide Insertion Loss at $\lambda = 1.3 \mu\text{m}$ ", McCaughan et al., <i>IEEE Journal of Quantum Electronics</i> , vol. QE-19, No. 2, Feb. 1983, pp. 131-135.						
	AK	"Precise Determination of Refractive-Index Changes in Ti-diffused LiNbO ₃ Optical Waveguides", Minakata et al., <i>J. Applied Physics</i> , vol. 49, No. 9, Sept. 1978, pp. 4677-4682.						
	AL	"Electron-Concentration Dependence of Absorption and Refraction in n-In _{0.53} Ga _{0.47} As Near the Band-Edge", Hahn et al., <i>Journal of Electronic Materials</i> , vol. 24, No. 10, 1996, pp. 1357-1361.						
	AM	"Low Power Acousto-Optic Device Based on a Tapered Single-Mode Fiber", Birks et al., <i>IEEE Photonics Technology Letters</i> , vol. 6, No. 6, June 1994, pp. 725-727.						
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	AL	Wu et al, "FIR Filter Design via Spectral Factorization and Convex Optimzation", 33 pages. Dated prior to filing of this application							
	AM	Oppenheim et al, "Filter Design Techniques", <u>Discrete-Time Signal Processing</u> , Prentice Hall, Englewood Cliffs, New Jersey, 1989, pages 403-480.							
	AN	Leuthold et al, "Multimode Interference Couplers for the Conversion and Combining of Zero- and First-Order Modes", <u>Journal of Lightwave Technology</u> , Vol 16, no 7, July 1998, pages 1228-1239.							
	AO	"Overampling Techniques using the TMS320C24x Family", Texas Instruments Europe, June 1998, 37 pages							
	AP	Okamoto, Katsunari, "Fundamentals of Optical Waveguides", NTT Photonics Laboratories, Japan, Academic Press, 2000, pages 59-71							
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